Amendments to the Claims

Please amend claims 2-4, 6, 8, 11-19 and 35-44; cancel claims 1, 20 and 21; and add new claims

63-65. The Claim Listing below will replace all prior versions of the claims in the application:

Listing of claims:

1.   (Canceled)

2.   (Currently amended) The system of claim [[1]] 63 wherein:
        ~~the processor executes instructions to generate a reporting system module that~~ the finance
server system generates reports based on the ~~participant information of the plurality of~~ one or
more transactions conducted through the trading server system using the limited brokerage
accounts ~~stored in the volatile data storage of the finance system~~.

3.   (Currently amended) The system of claim [[1]] 63, wherein the employee stock plan
comprises at least one of an employee stock option plan (ESOP), a restricted stock award (RSA)
plan, and an employee stock purchase plan (ESPP) that is administered by a financial services
organization.

4.   (Currently amended) The system of claim 2, wherein the ~~processor executes instructions~~
~~to create user profiles~~ finance server system creates profiles for the participants associated with
an employer profile and ~~the reporting system module~~ generates the reports in accordance with
respective user profiles.

5.   (Canceled)

6.   (Currently amended) The system of claim 2, wherein the ~~interface system module~~
finance server system presents an interface through which ~~enables user selection of~~ a report
template is selected ~~and corresponding parameters for the selected report template, and the~~

2

~~reporting system module generates~~, the finance server system generating the reports in accordance with the selected report template.

7.   (Original) The system of claim 2, wherein the reports relate to at least one of grants outstanding, grants exercised, or options dilution.

8.   (Currently amended) The system of claim 2, wherein the ~~interface system module enables a user to set parameters including~~ finance server system presents an interface through which at least a filtering criteria parameter to filter the reports and sort criteria for sorting the reports are selected.

9.   (Canceled)

10.   (Canceled)

11.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module enables the participant to make a selection regarding~~ the finance server system presents an interface through which the participants select a distribution election for the employee stock plan.

12.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module enables the participant to make a selection regarding~~ the finance server system presents an interface through which the participants select a contribution election for the employee stock plan.

13.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module enables the participant to make a selection regarding~~ the finance server system presents an interface through which the participants select a tax election for the employee stock plan.

14.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module enables the participant to access~~ finance server system presents an interface through which the participants access an online form relating to the employee stock [[plans]] plan.

15.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module notifies the participant, regarding the respective employee stock plan,~~ the finance server system presents an interface through which the participants are notified of at least one of[[:]] stock option grants acceptance pending, stock option grants expiring, restricted stock tax election not chosen, cash payment due, enrollment election and distribution election.

16.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module notifies the participant~~ the finance server system presents an interface through which the participants are notified of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

17.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module interacts with at least one user to perform~~ the finance server system presents an interface through which block trades are performed on behalf of the participants for shares acquired by the participants ~~participant pursuant to~~ solely in connection with the employee stock plan~~; and the participant information in the volatile data storage is updated according to the block trades performed.~~

18.   (Currently amended) The system of claim [[1]] 63, wherein ~~the interface system module enables a user~~ the finance server system presents an interface through which to sell a block of shares in multiple trades on behalf of the ~~participant~~ participants for shares acquired by the ~~participant~~ participants ~~pursuant to~~ solely in connection with the employee stock plan by entering a share quantity and price for each trade~~; and the participant information in the volatile data storage is updated according to the block trades performed.~~

4

19.   (Currently amended) The system of claim [[1]] 63, wherein the ~~interface system module interacts with at least one user to enable the user~~ the finance server system presents an interface through which to view trade entries for the employee stock plan~~, and in response thereto,~~ and to enter an approved or disapproved status for at least one of an associated check and an associated journal, ~~the interface system further comprising means for linking~~ the check and the journal being linked so that an entry made ~~by the user for~~ the journal is automatically carried over to an entry for the check.

20. through 34.   (Canceled)

35.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants make a distribution election selection related to the employee stock plan.

36.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants make a distribution election selection related to the employee stock plan, wherein the distribution elections include at least one of: maintaining funds in a limited brokerage account stored in the finance server system ~~of the financial services organization~~, transferring funds to an external account, receiving funds via a check, selling shares via block trading, and obtaining shares via physical certificate.

37.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants make a contribution election selection related to the employee stock plan.

38.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants make a tax election selection related to the employee stock plan.

39.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants access an online form associated with the employee stock plan.

40.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants access an online form associated with the employee stock plan, the online form including at least one of: a wire transfer instruction form, a stock option account activation form, and an electronic share transfer form.

41.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants select at least one of a current enrollment period and a future enrollment period in making a selection.

42.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module enables the participant to~~ further comprising presenting an interface through which the participants make a selection regarding at least one of: designating a payroll deduction, stopping future contributions, and withdrawing previous contributions from [[their]] the employee stock plan.

43.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module notifies the participant~~ further comprising presenting an interface through which the participants are notified of at least one of: a stock option grant pending acceptance, an expiring stock option grant, a restricted stock tax election not chosen, cash payment due, and an enrollment election and distribution election.

44.   (Currently amended) The method of claim [[21]] 64, ~~wherein the interface system module notifies the participant~~ further comprising presenting an interface through which the

participants are notified of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

45. through 62.   (Canceled)

63.   (New) A system supporting an employee stock plan comprising:

an administrative server system that receives and stores employer-provided information concerning participants in an employee stock plan;

a trading server system that executes transactions on a public exchange;

a finance server system communicably coupled to the administrative server system and the trading server system over a communications network;

the finance server system receiving the employer-provided participant information from the administrative server system;

the finance server system automatically creating and storing, without participant action, limited brokerage accounts based on the employer-provided participant information, the limited brokerage accounts being used by the participants to initiate transactions through the trading server system solely in connection with the employee stock plan;

the finance server system presenting an interface through which the participants use the limited brokerage accounts to initiate one or more transactions in connection with the employee stock plan through the trading server system;

the trading server system conducting the one or more transactions initiated by the participants using the limited brokerage accounts;

the finance server system updating the limited brokerage accounts with information concerning the one or more transactions;

the finance server system transmitting information concerning the updated limited brokerage accounts to the administration server system; and

the administration server system updating the employer-provided participant information stored in the administrative server system with the information concerning the updated limited brokerage accounts.

64.   (New) A method for supporting an employee stock plan comprising:

receiving the employer-provided information concerning participants in an employee stock plan over a communications network from an administrative server system;

automatically creating and storing, without participant action, limited brokerage accounts based on the employer-provided participant information, the limited brokerage accounts being used by the participants to initiate transactions through a trading server system solely in connection with the employee stock plan;

presenting an interface through which the participants use the limited brokerage accounts to initiate one or more transactions in connection with the employee stock plan through the trading server system;

updating the limited brokerage accounts with information concerning the one or more transactions; and

transmitting information concerning the updated limited brokerage accounts over the communications network to the administration server system in order to update the employer-provided participant information stored in the nonvolatile data storage of the administrative server system.

65.   (New) A finance server system that supports an employee stock plan comprising:

means for receiving the employer-provided information concerning participants in an employee stock plan over a communications network from an administrative server system;

means for automatically creating and storing, without participant action, limited brokerage accounts based on the employer-provided participant information, the limited brokerage accounts being used by the participants to initiate transactions through a trading server system solely in connection with the employee stock plan;

means for presenting an interface through which the participants use the limited brokerage accounts to initiate one or more transactions in connection with the employee stock plan through the trading server system;

means for updating the limited brokerage accounts with information concerning the one or more transactions; and

means for transmitting information concerning the updated limited brokerage accounts over the communications network to the administration server system in order to update the employer-provided participant information stored in the nonvolatile data storage of the administrative server system.